Arizona General Accounting Office

Arizona OpenBooks V2
Public & Administrative Application

Instructional Manual Version 1.2

Created By:
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OpenBooks V2 Instructions Manual

The purpose of this manual is to provide entity users information for the following:

- Setting up an account in Secure Account Services (SAS)
- Requesting Entity Access
- Navigating the Administrative Application Interface
- Uploading a Batch and Viewing Batch Statuses
- Required Elements for Batch Files

Table of Contents

Websites

Arizona OpenBooks Transparency website:	http://openbooks.az.gov/
General Accounting Office website:	http://www.gao.az.gov/
Arizona Revised Statute § 41-725:	http://www.azleg.gov/ars/41/00725.htm
Test Admin. site:	https://prodtest.az.gov/app/transparency-admin/main.html
Test OpenBooks:	https://prodtest.az.gov/app/transparency/index.html
Production Admin. site:	https://az.gov/app/transparency-admin/main.html
Production OpenBooks:	http://openbooks.az.gov

INTRODUCTION

In response to the movement toward government transparency, the State of Arizona passed Arizona Revised Statutes (A.R.S.) § 41-725, requiring the State to establish and maintain an official internet website that is electronically searchable by the public at no cost and that contains a comprehensive database of receipts and expenditures of State monies.

Overview

The Arizona Department of Administration (ADOA) took on the task of creating Arizona's transparency website, and officially launched Arizona OpenBooks in December, 2010. For the development and design of openbooks.az.gov, the State of Arizona adopted the model and basic technical framework of the State of Utah's transparency website, http://www.utah.gov/transparency, designed by the National Information Consortium (NIC). This approach of leveraging existing products provided significant cost and time savings in development and support of the Arizona OpenBooks transparency website.

Recognition

The Arizona Public Interest Research Group (Arizona PIRG), a group established to advocate for the public interest, has ranked Arizona OpenBooks, one of the top transparency websites in the nation. They publish their annual results in their "*Following the Money*" reports, which can be found at the following hyperlinks:
Following the Money 2011, Following the Money 2012, Following the Money 2013, Following the Money 2014

Joining Arizona Transparency

A.R.S § 41-725 was amended to include local governments, providing a unique opportunity for the State of Arizona and local governments to partner in their efforts to meet the transparency requirements. The ADOA would like to formally invite all local governments to join the State of Arizona and include their financial information on Arizona OpenBooks. A successful partnership stands to benefit the State of Arizona, local governments, and the citizens of Arizona by providing the public with a single point of reference for governmental financial activities, and significantly reducing costs that would otherwise be associated with implementing and maintaining multiple transparency websites.

Getting Started

The Arizona OpenBooks Service Agreement (ISA) must be signed prior to receiving access to Arizona OpenBooks. Local Government Access Request & Authorization Forms: GAO-OB-1 and/or GAO-OB-2, must be completed before receiving user security access to Arizona OpenBooks. To discuss or request information, please send an inquiry to the Arizona Department of Administration, General Accounting Office at OpenBooks@azdoa.gov.

Process:
- 3 completed (recommend completing online) and signed copies of the Arizona OpenBooks ISA sent to ADOA-GAO. Available online at: http://openbooks.az.gov/app/transparency/faqs.html.
- Security forms (GAO-OB-1 and/or GAO-OB-2) completed (recommend completing online) and sent via email. Available online at: http://openbooks.az.gov/app/transparency/faqs.html.

- ☐ Payment made and received by ADOA-GAO.
- ☐ Users Register in SAS TEST: https://prodtest.az.gov/app/transparency-admin/login.html.
  - o Click on **Go To Account Registration**.
  - o Fill in information and **Create Account (NOTE: Your email address will be your User Name)**
  - o Click on **Activation link** in email from <mark>**donotreply@aayssmtp.az.gov**</mark> (ensure this email does not go to SPAM) and then **Set Password (NOTE: ADOA-GAO does not have access to your Security Question answer or password, so please remember these)**
  - o PLEASE NOTE: You will not be able to login yet.
- ☐ Users Approved in SAS TEST by ADOA-GAO only. Please allow 24 hours for approvals.
- ☐ Users Request access to OpenBooks TEST Admin. https://prodtest.az.gov/app/transparency-admin/main.html
  - o Sign in using your UserName (email address) and Password created in SAS:
  - o Find your entity and click the box to the left. A new option for entity administrator will then appear underneath. If you will have authorization to approve additional users for your entity, please check this box as well.
- ☐ Users Approved in OpenBooks TEST Admin. by ADOA-GAO *or* an Entity Administrator. Please allow 24 hours for ADOA-GAO approvals.
- ☐ Users upload, test and verify files (see **Reconciliation/Verification** section for more information).

Repeat process for Production once testing is complete.
- ☐ Send email to OpenBooks@azdoa.gov when ready to proceed with Production access.
- ☐ Users Register in SAS PRODUCTION: https://az.gov/app/transparency-admin/login.html
  - o Click on **Go To Account Registration**.
  - o Fill in information and **Create Account (NOTE: Your email address will be your User Name)**
  - o Click on **Activation link** in email from <mark>**donotreply@aayssmtp.az.gov**</mark> (ensure this email does not go to SPAM) and then **Set Password (NOTE: ADOA-GAO does not have access to your Security Question answer or password, so please remember these)**
  - o PLEASE NOTE: You will not be able to login yet.
- ☐ Users Approved in SAS PRODUCTION by ADOA-GAO only. Please allow 24 hours for approvals.
- ☐ Users Request access to OpenBooks PRODUCTION Admin. https://az.gov/app/transparency-admin/login.html
  - o Sign in using your UserName (email address) and Password created in SAS:
  - o Find your entity and click the box to the left. A new option for entity administrator will then appear underneath. If you will have authorization to approve additional users for your entity, please check this box as well.
- ☐ Users Approved in OpenBooks PRODUCTION Admin. by ADOA-GAO *or* an Entity Administrator. Please allow 24 hours for ADOA-GAO approvals.
- ☐ Users upload and verify files (see **Reconciliation/Verification** section for more information).

F.A.Q.s

The responses to these F.A.Q.s are based on the State of Arizona practices and are used for guidance only. Other Entities may decide to make different decisions or take different approaches.

How will the transactions that are Revenues, Expenses, etc. be determined and downloaded from the financial system?
The State of Arizona made the Revenue and Expense transaction determination based on general ledger accounts from a monthly data dump of the Arizona Financial Information System (AFIS).

Will Realized Revenues/Expenses and/or Accrued Revenues/Expenses be displayed?
The State of Arizona only displays Realized Revenues and Expenses. The State of Arizona financial data is presented on a cash basis within OpenBooks.

Do Revenue amounts need to be converted?
Revenue collected is normally shown as a credit (negative) in accounting. To keep the general public from perceiving the negative number as revenue lost, the amount for all revenue transactions may need to be multiplied by -1.

Will Expenses that have a Payment Processed and/or those that have a Payment Pending be displayed?
The State of Arizona only displays expenses where the payment has been processed.

What fiscal years will be uploaded?
The State of Arizona uploaded data beginning with fiscal year 2009.

How frequently will files be created and uploaded?
A.R.S § 41-725 states data shall be updated no less frequently than every three months and may be updated as new data becomes available. The data shall be retained and accessible online for at least three fiscal years.
The State of Arizona updates information on a monthly basis.

Do any dates need to be converted?
OpenBook's date fields must be a valid calendar date. The State of Arizona has an adjustment period for fiscal year end, called the "13th month". These transactions have a date of 06/31/xx-06/99/xx. Since these are invalid calendar dates and cannot be accepted for the OpenBooks upload file, we converted all of these dates to 07/01/(xx +1). This will give these transactions a posting date in the next fiscal year, however the fiscal year field will be the current/correct fiscal year(yyxx). This will allow the transactions to display under the correct fiscal year and easily be determined to be the "adjustment period" transactions due to the posting date.

Do amounts or dates need to be formatted?
Amounts should be in the format 9999.99 or -9999.99.
Amounts should NOT include commas, a dollar sign or any "packed" information.
Negative amounts should have a leading minus sign.
Dates should be a valid calendar date in the format YYYYMMDD.
Dates should NOT have any slashes, hyphens, or other special characters.

Do any titles or descriptions need to be converted for public view or understanding?
The State of Arizona did a comprehensive examination of the title and description fields used for the Transparency upload. Modifications were made to make the fields understandable to the public.

Do any titles or descriptions need to be extended due to financial system limitations?
The State of Arizona had title fields limited to 20 characters in their financial system; however these fields are 60 characters for the Transparency file. Some adjustments were made to expand any abbreviations, avoid any acronyms, and make necessary changes to make these titles understandable to the public.

Do any adjustments need to be made due to Confidentiality?
The State of Arizona performed a comprehensive review of data to identify confidential transactions. Various techniques were used to maintain confidentiality, the most common of which was replacing the Vendor name field with "Name Redacted" _prior_ to the upload of the file.

How is a transaction determined to be displayed in a fiscal year search?
The fiscal year is determined by the fiscal year field, not the posting date. You can have a future or past posting date with any fiscal year.

Can I display Budget or Payroll transactions?
Currently Arizona OpenBooks does not have separate coding for Budget or Payroll. The following Transactions Types are accepted: EX = Expense, RV = Revenue, PC = Purchasing Card, and RM = Employee Reimbursement. The State of Arizona displays consolidated Payroll information under EX = Expense and does not provide detailed individual Payroll data.

Suggestions

- Avoid using special characters in any of the fields populated in the file layout. Some special characters will cause a file to be INVALID and not process. Common issues are with quotes (") and pipes (|).

- Include all Revenue and Expense transactions for easy reporting, reconciliation, and explanation. It is suggested to only mask the Payee/Customer/Vendor field for confidential transactions.

- Arizona OpenBooks is a title driven system. Avoid making title changes (Organization, Category, Fund, Vendor Name, etc.) during the fiscal year. It is suggested to only make title changes at the beginning of a fiscal year. When a title is changed during a fiscal year, it will display as a new title and amounts will not be combined with the old title. Example: "Service fund" transactions were uploaded to Arizona OpenBooks from July 1 to December 31 in the amount of $2000. In January, the title of this fund was changed to "Special Service fund" and transactions in the amount of $500 were uploaded. Arizona OpenBooks will display the following under the fund filter:
  Service fund $2000.00
  Special Service fund $500.00

CONFIDENTIALITY

The State of Arizona performed a comprehensive confidentiality analysis. A policy was developed and a form was required to be completed by all State of Arizona agencies. After further discussions with the State's budget units, very few transactions were actually determined to be confidential. Confidential transactions were masked by changing the vendor name to "Name Redacted" before being uploaded to Arizona OpenBooks transparency website. After the initial analysis, it was determined that additional comptroller objects were required to be added to the State's financial system. This allowed all State of Arizona agencies to record transactions as "confidential" during transaction entry by using these comptroller objects. See below for a listing of these new comptroller objects used by the State of Arizona.

References:
GAO Policy: Transparency Website Data Confidentiality: https://gao.az.gov/sites/default/files/tb1003.pdf

GAO Forms: 701A: https://gao.az.gov/sites/default/files/tb1003.pdf

New Comptroller Objects created by State of Arizona for Transparency Confidentiality:
For the following, the names of payees in the "Providers" COBJs will be displayed, while the names of "Individuals" COBJs will not be displayed on the Transparency Website:

6851: Payments Directly to Individuals for Hospitalization
6852: Payments to Providers for Hospitalization Services
6853: Payments Directly to Individuals for Drugs & Medicines
6854: Payments to Providers for Drugs & Medicines
6858: Payments Directly to Individuals for Other Medical & Health Services
6859: Payments to Providers of Other Medical & Health Services

Several State agencies conduct investigations, engage forensic specialists, or contract expert witnesses. Certain expenditures related to these investigations are confidential by law, others are not. Even when not confidential by law, the release of specific information may jeopardize ongoing investigations or endanger investigators. Two sets of COBJ pairs—one for professional and outside investigative services and the other for sundry investigative expenses were created, as shown below:

6296: Non-confidential Outside Specialist Fees for Investigations, etc.
6297: Confidential Outside Specialist Fees for Investigations, etc.
7596: Non-confidential Investigative / Legal / Law Enforcement Expenses
7597: Confidential Investigative / Legal / Law Enforcement Expenses
     Note: COBJs 6297 and 7597 can only be used with the written authorization of the GAO.

Another COBJ pair involves payments of judgments as restitution to individuals. In this case, sometimes restitution is paid to an individual whose identity is not to be disclosed. At other times, however, restitution is paid to an attorney or agent acting on the claimant's behalf; in such case, the identity of the payee is not confidential. The COBJ pair that relates to restitution includes:

7573: Judgments – Confidential Restitution to Individuals
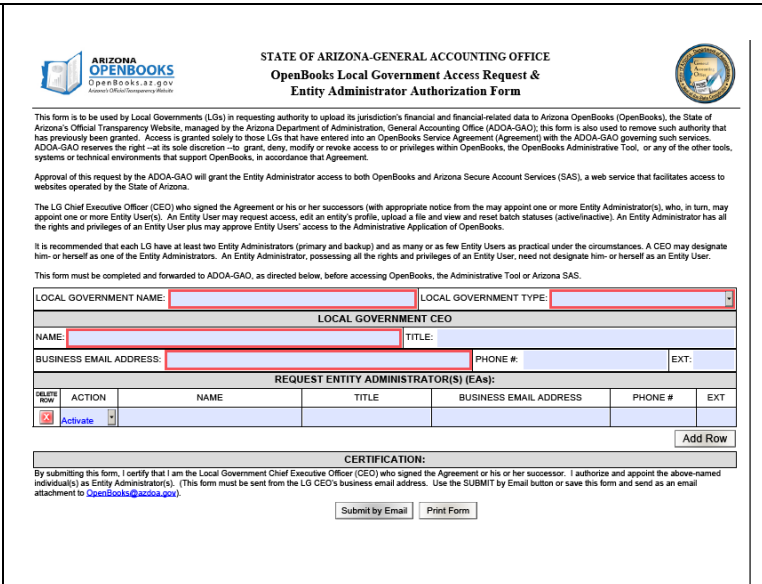7474: Judgments – Non-confidential Restitution

ENTITY/USER SECURITY

In order to upload data to the OpenBooks.az.gov website (for both the Test and Production region) you must first have a SAS account. In order to set up your account, please follow the steps provided below.

Step 1	
Complete and submit GAO-OB-1 and GAO-OB-2 (optional), OpenBooks Local Government Access Request & Authorization Form.	**STATE OF ARIZONA-GENERAL ACCOUNTING OFFICE** — OpenBooks Local Government Access Request & Entity Administrator Authorization Form

Step 2	
Secure Account Services (SAS) Launch an internet browser and navigate to: <mark>IMPORTANT</mark> For **TEST**, use the following URL: https://prodtest.az.gov/app/transparency-admin/main.html For **PRODUCTION**, use the following URL: https://az.gov/app/transparency-admin/main.html	OpenBooks.AZ.gov Administrative Login screen

Step 3
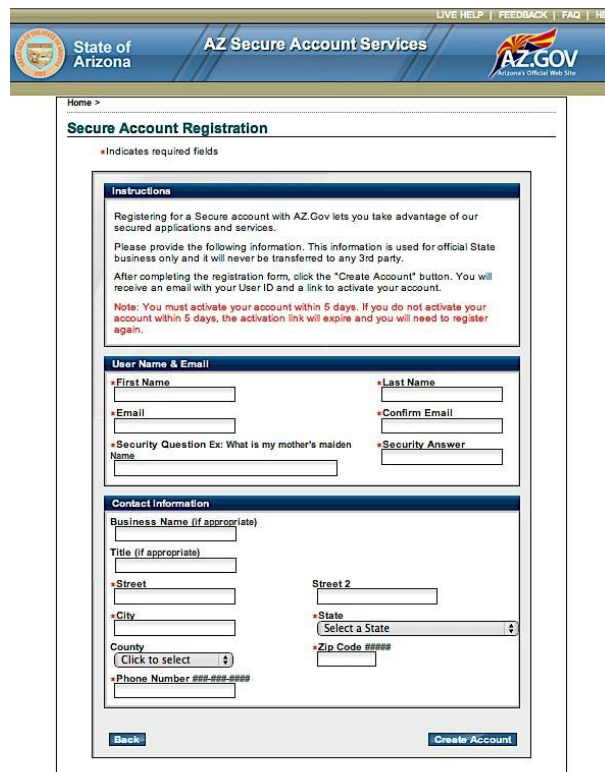
Click on **Go to Account Registration**.

Step 4

You will be directed to the SAS Account Registration screen. Please read the instructions and fill in all required fields. When you are finished, click the **Create Account** button.

Please Note: The email address used will be your Login User Name and the Security Question and Answer will be used later to create your Login password.

Step 5

You will arrive at a screen thanking you for registering your SAS account. You can close this internet browser window.

Please Note: Your SAS account has been registered, but is not yet active. You will receive an email with a link to activate your account and set your password.
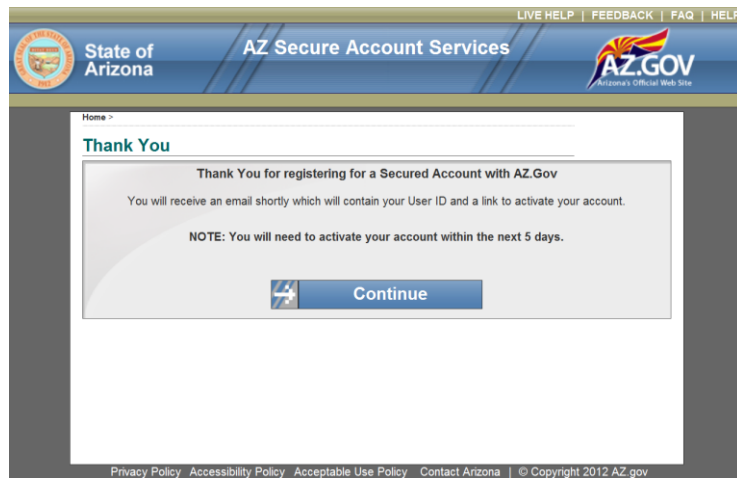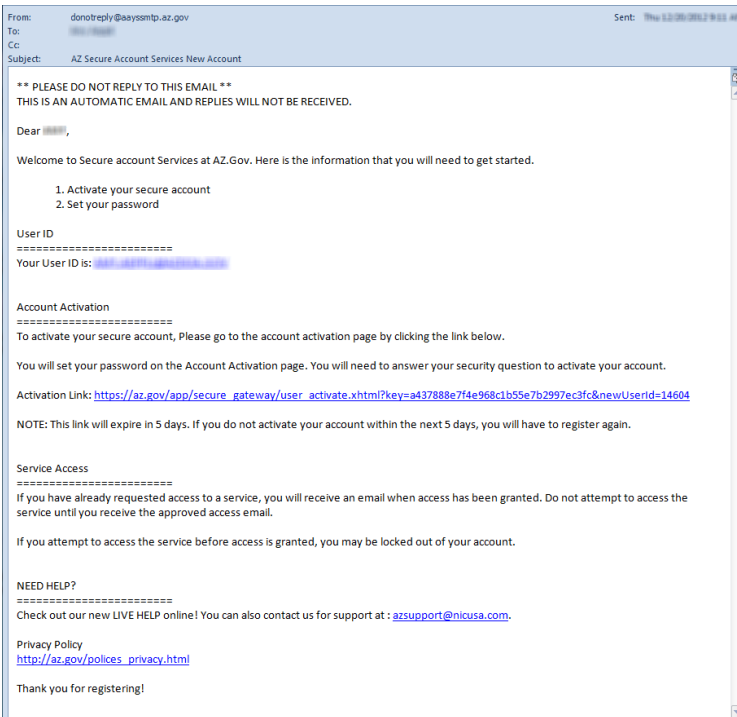

Step 6

Once your SAS account has been created you will receive an email requesting that you activate your account.

Note: If you do not receive an email, please check your spam and/or junk mail.

Once you have received the email, please read the instructions prior to clicking the Activation link.
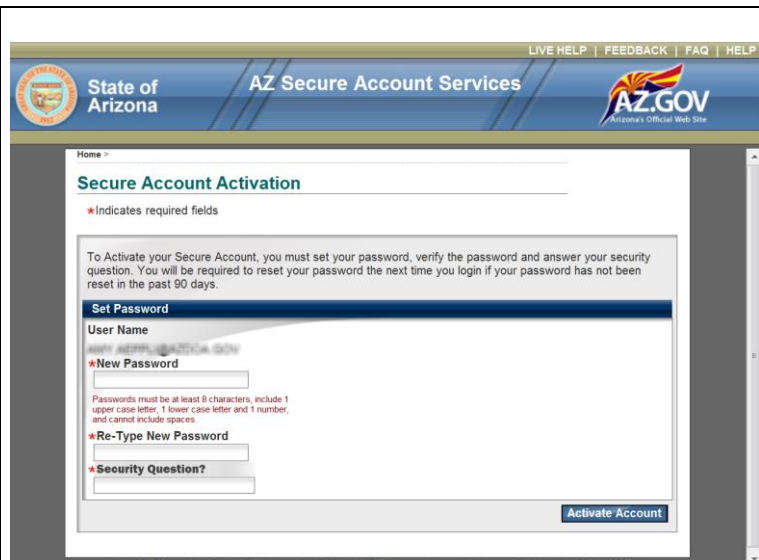
Step 7

After clicking the Activation Link provided in the email you will be directed to the Secure Account Activation screen. Please create a password and enter it twice. You will also be required to enter your security answer.

IMPORTANT: Passwords must be at least 8 characters, include 1 upper case letter, 1 lower case letter and 1 number, and cannot include spaces.

When you have completing entering all required information click the **Activate Account** button.

Step 8

Once you have Activated your account you will be directed back to the login screen. Login using your email address as your User Name and the Password you created, then click the **Login** button.

You can close this internet browser window.

Step 9

Confirmation message for successfully adding OpenBooks service is received.

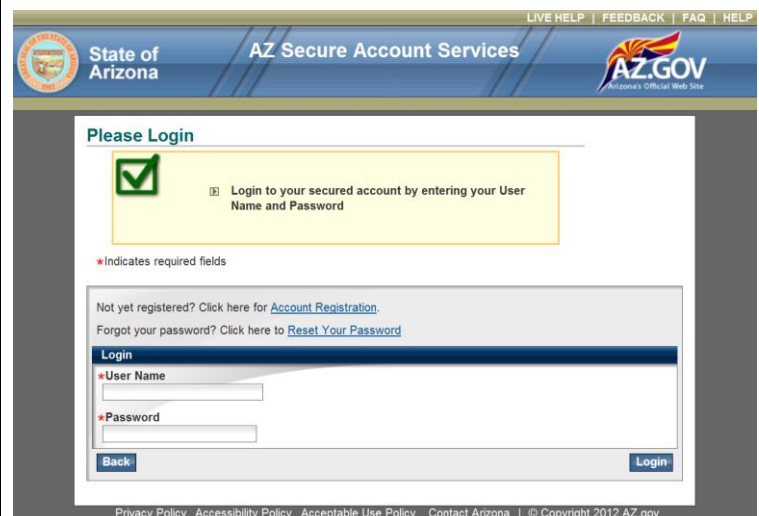**Please Note.** You do not have access to the OpenBooks Administrative Application until the application administrator (Arizona Department of Administration, General Accounting Office) has granted you access. Access will be granted after an authorized Security form has been received.
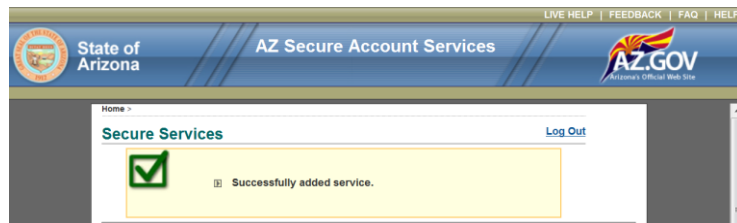
Step 10

Once you have Activated your account you will receive a second email informing you that your SAS account is now active. If you do not receive an email, please check your spam and/or junk mail.
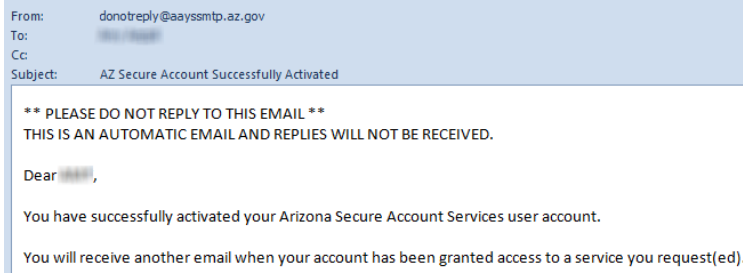
Step 11

After the OpenBooks Administrator approves your request, you will receive a third email notifying you that access has been granted. If you do not receive an email, please check your spam and/or junk mail.

Click the link provided to be taken to the OpenBooks PRODUCTION login screen.

Step 12

Please login to the OpenBooks Administrative Application.

IMPORTANT
For OpenBooks **TEST** Administrative Tool, use the following URL:
https://prodtest.az.gov/app/transparency-admin/login.html

For OpenBooks **PRODUCTION** Administrative Tool, use the following URL:
http://az.gov/app/transparency-admin/login.html

Use the username (email address) and password you created when setting up your SAS account, then click the **Login** button.

NOTE: Your Username and Password are the same for both Regions of OpenBooks.

For OpenBooks **TEST** Administrative Tool, use the following URL:
https://prodtest.az.gov/app/transparency-admin/login.html

For OpenBooks **PRODUCTION** Administrative Tool, use the following URL:
http://az.gov/app/transparency-admin/login.html

Security roles include an Entity Administrator and Entity User.
Entity Administrators have the same security as an Entity User with the exception of the ability to authorize Entity User accounts.

Step 13

Once you are logged in, you will be able to select from a list of entities. Select the entity/entities applicable.

Once selected, you will have the option to apply to be an entity admin. This access enables you to approve all users requesting access to your assigned entity. **NOTE:** If you are not responsible for approving user access for your assigned entity do not select this option.

DO NOT check the State level super user, this is for AZ-ADOA-GAO use only.

Once you have selected the entity you will be administering, scroll to the bottom of the page and click the **Request** button.

Step 14

Upon clicking the **Request** button you will be directed to the 'Request Pending Approval' page. An approved Administrator for your entity will review your request and approve/decline it.

Step 15

Once your request has been reviewed you will receive a final email notifying you of your status. If you are approved, you may return to the OpenBooks Administrative Application.

Arizona OpenBooks Admin Application user status update

Inbox   x

donotreply@aayssmtp.az.gov   2:11 PM (6 minutes ago)

to

User _____ status updates

Entity _____ status has been changed to ACTIVE

NAVIGATING ADMINISTRATIVE APPLICATION

Once you have completed the SAS account registration and have been granted access to an Entity you may now log into the Arizona OpenBooks Application. This section provides an overview for navigating the OpenBooks system.

Login to: **TEST:** https://prodtest.az.gov/app/transparency-admin/login.html **PRODUCTION:** https://az.gov/app/transparency-admin/login.html Enter Username (email address) and the password you created when setting up your SAS account. Click the **Login** button.	**TEST:** https://prodtest.az.gov/app/transparency-admin/login.html **PRODUCTION:** https://az.gov/app/transparency-admin/login.html

Once logged in, you will be directed to the OpenBooks Administration Home Page. From this screen you may:

1. Select a different entity (Note: you must possess access to multiple entities)
2. Select the "Batches" tab to view the status of an uploaded batch(es)
3. Select the "Upload" to upload a new batch file
4. Select the "Request Access" table to request access to another entity
5. Select the "Manage Users" tab to manage your entity users. (Note: This tab will only display if you have Entity Admin privileges)
6. Search for a specific record by the Transaction ID
7. Edit Profile Information for your entity
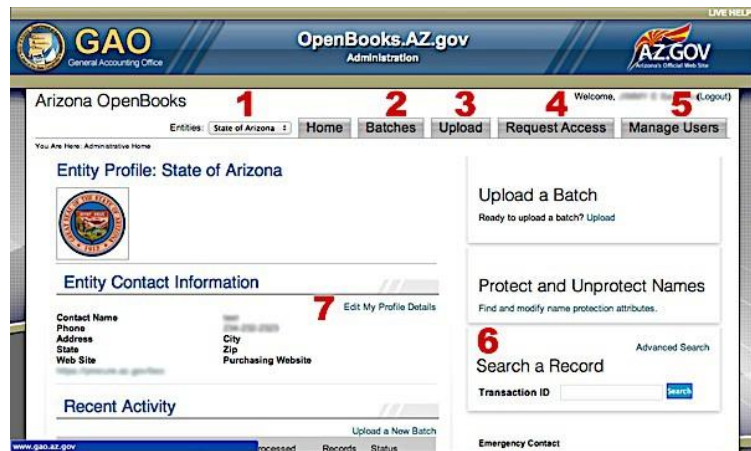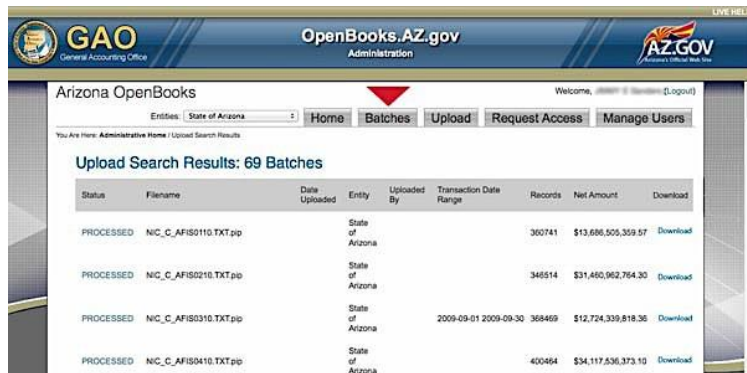
Switching Entities

In order to switch entities, click the Entities drop menu. If you have access to only one entity no other entities will display in the drop menu.

Batches Tab

Clicking the Batches tab will direct you to the "Upload Search Results" page. This page lists all uploaded batches and the status for each batch. Clicking the batch status will
direct you to the Uploaded Data page. .

Please refer to the *Uploading a Batch and Viewing Batch Statuses* for additional details.

Upload Tab

Clicking this tab will take you to the Batch Upload page. From this page the user will be able to upload batches.

Please refer to the *Uploading a Batch and Viewing Batch Statuses* for additional details.

Request Access Tab

Clicking this tab will give you the ability to request access to other entities.

This is covered in more detail in Steps 9-11 of the *Setting Up an Account in Secure Account Services (SAS) and Requesting Entity Access* of this manual.

Manage User Tab

This is only available if you have entity admin access to an entity. From this screen you can manage the users of the entity.

Edit My Profile Details

Clicking the **Edit My Profile Details** link will direct you to a screen where you can change the entity name, level of government, fiscal periods, entity web site URL, entity logo, and contact information for the selected entity.

UPLOADING A BATCH/VIEWING BATCH STATUS

The following section will detail the steps involved for uploading a batch.
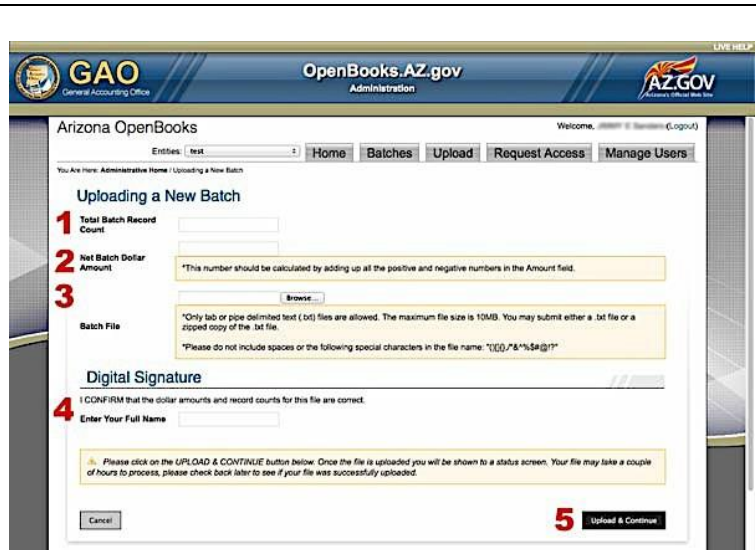
1. At the Administrative Home page, click the entity you will be uploading data for from the Entities Menu. 2. Clicking the Upload Tab, you will direct you to the **Upload a New Batch** page.	
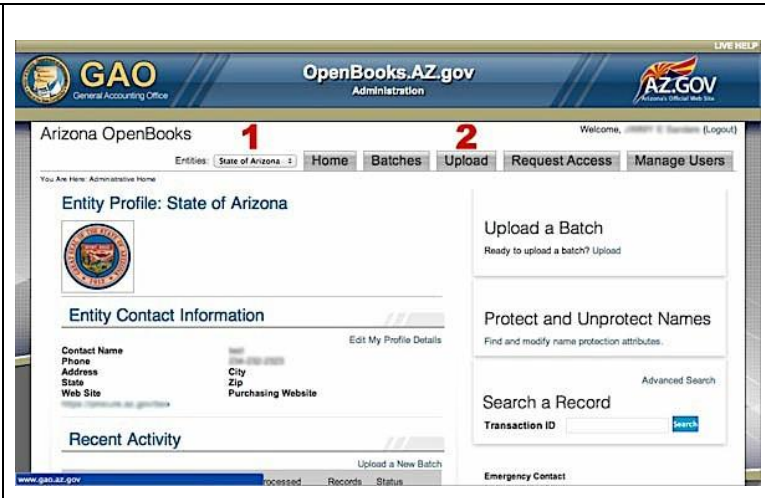
1. Enter the total record count. This is the total number of records in the batch excluding the header row.
2. Enter the total net batch dollar amount. Do not enter dollar signs or commas.
3. Browse and select your batch file.
4. Enter your full name in the Digital Signature box.
5. Click the **Upload & Continue** button at the bottom of the screen.

Please Note:
All uploaded batches will begin processing nightly at 9pm Arizona Time. All batches must finish uploading before 9pm Arizona time. If a batch is still in the process of uploading at the time the batch Job begins, the file will not be included in that nights batch process.

Data Upload Details

- All batches must have a header row
- No records may contain a zero record amount
- Net Batch Dollar Amount can be calculated by totaling the positive and negative integers in the amount field
- Only Tab delimited text (.txt) files are allowed. The maximum files size is 10MB. You may submit either a .txt file or a zipped copy of a .txt file.
- Do not include spaces or the following characters in the file name: "()[]{},/*^%$#@!?

Once the file has completed uploading you will be directed back to the Home Page. Your file will display in the **Recent Activity** section with a status of Uploaded.

Please wait until you have been directed back to this screen before trying to upload another batch.

Once your file is processed and approved, the status will change to Processed.

If there is an error with your file, the status will display as Invalid.

To view more details of the uploaded batches you may either click the **View More Details** link in the **Recent Activity** section or click the **Batches** tab.

After clicking the **View More Details** link you will arrive at the Upload Search Results screen. By clicking the status of the file you may view more details of the batch.

Batches may have six status types:

- **Uploaded** – Batch has been uploaded and submitted for processing
- **Processing** – Batch is being processed
- **Processed** – Batch has completed processing
- **Resum** – Application is in the process of re-summarizing data
- **Deleted** – A GAO administrator has deleted your batch.

Note: Only GAO administrators are authorized to delete batches.

- **Invalid** – There were errors with the batch that you uploaded. Clicking on the "Invalid" link will direct you to a detailed report that displays the errors found in the file. (see example below). You will need to correct this data and upload your batch again after the corrections have been completed. Batches are "all or nothing" and will NOT partially process.

Manage Users – Entity Administrator

Login to:

TEST:
https://prodtest.az.gov/app/transparency-admin/login.html

OR

PRODUCTION:
https://az.gov/app/transparency-admin/login.html

Under the Manage Users Tab, "pending" users will be displayed by default.

Click the **magnifying glass** icon under the "View" column for each applicable user.
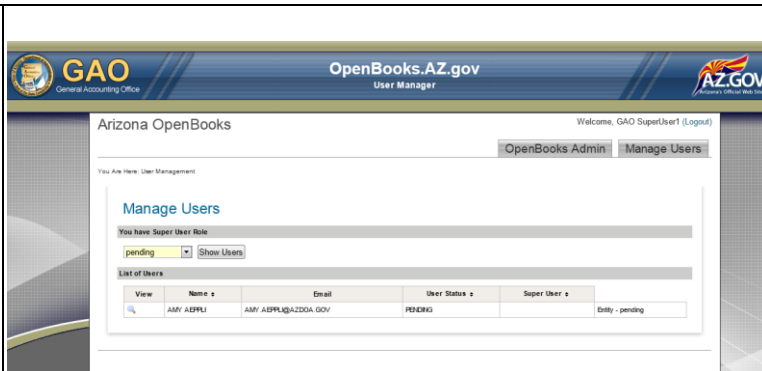
Change the **Status** to "active" next to the designated Entity to approve user.

Only check the Entity Admin box if the user is to be an Entity Admin for the specified Entity.
If the Entity Admin is already checked and the user should NOT be an Entity Admin, uncheck.

Then click the **Update** button.

NOTE: Only ADOA- GAO can be assigned and check the Super User Role box.
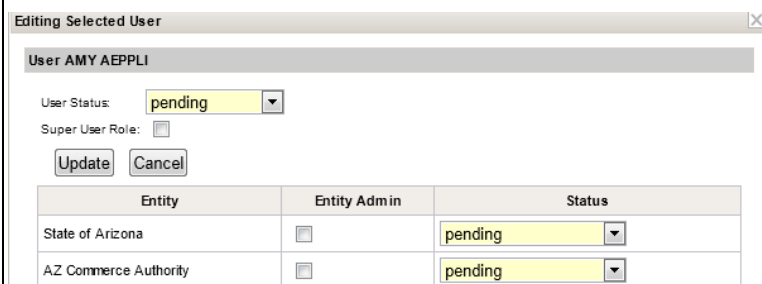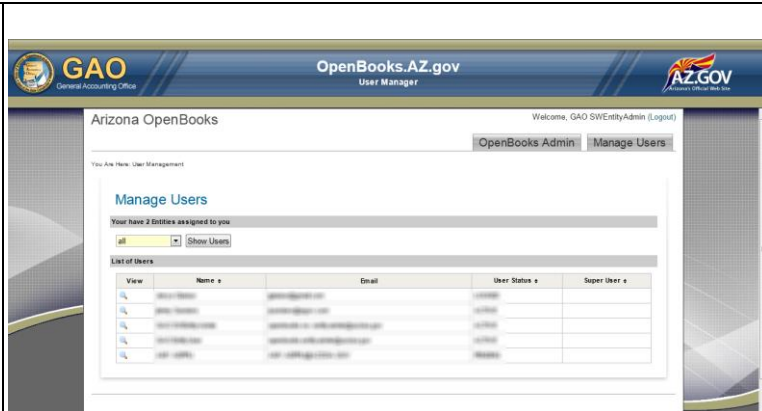
Statuses available:
- **active** - User has access for the designated Entity
- **pending -** User has requested access, waiting for Entity Admin.
- **locked –** User has been inactivated and does not have access for the designated Entity.
- **Denied –** User has NOT been approved access for the designated Entity
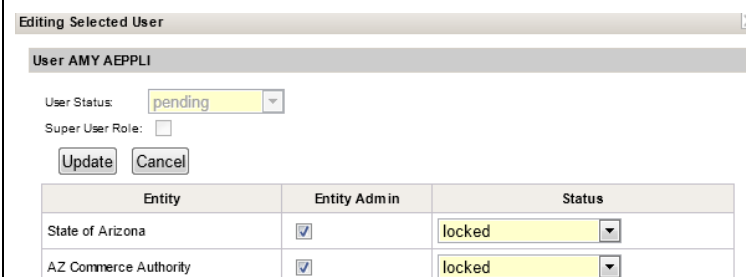
INACTIVATE USERS: Select "**all**" from the drop-down and click **Show Users** button. Click the **magnifying glass** icon under the "View" column for each applicable user.	
Change the **Status** to "locked" next to the designated Entity to inactivate user.	

IMPORTANT:

Inform ADOA-GAO of users to be inactivated by sending an email request to OpenBooks@azdoa.gov. ADOA-GAO will lock User Status and SAS security.

File Layout

- The file must be a .txt file.
- File format is Tab delimited (NO text qualifier).
- All fields must be included. Null 'Optional' fields if not used.
- Header is required (column names), sample can be provided.
- NO Footer.
- NO end of file marker, hard return, or blank last line.
- Special Characters cannot be used.
- New data must be loaded as a separate file. (files are NOT cumulative)
- For standardization, fields should be in ALL CAPS.
- File Name should be kept short and cannot contain spaces or special characters, except for dash (-) or underscore (_).

Field Name	Data Type/ Format	Max Length	Required	Additional Information
Record number	Varchar	32	Y	Required. Must be unique.
Fiscal year	Num YYYY	4	Y	Required. Must be year only (e.g., 2013)
Entity name	Varchar	60	Y	Required. Used to define the entity (e.g., City of Rolling Hills)
Fund 1 name	Varchar	60	Y	Required. This is the top level in the fund hierarchy.
Fund 2 name	Varchar	60	N	Optional. Null if not used. This is the 2nd level in the fund hierarchy.
Fund 3 name	Varchar	60	N	Optional. Null if not used. This is the 3rd level in the fund hierarchy.
Fund 4 name	Varchar	60	N	Optional. Null if not used. This is the 4th level in the fund hierarchy.
Organization level 1 name	Varchar	60	Y	Required. This is the top level in the organization hierarchy. It would typically be the next level down from the Entity.
Organization level 2 name	Varchar	60	N	Optional. Null if not used. This is the 2nd level in the organization hierarchy.
Organization level 3 name	Varchar	60	N	Optional. Null if not used. This is the 3rd level in the organization hierarchy.
Organization level 4 name	Varchar	60	N	Optional. Null if not used. This is the 4th level in the organization hierarchy.
Organization level 5 name	Varchar	60	N	Optional. Null if not used. This is the 5th level in the organization hierarchy.
Organization level 6 name	Varchar	60	N	Optional. Null if not used. This is the 6th level in the organization hierarchy.
Organization level 7 name	Varchar	60	N	Optional. Null if not used. This is the 7th level in the organization hierarchy.

Organization level 8 name	Varchar	60	N	Optional. Null if not used. This is the 8th level in the organization hierarchy.
Organization level 9 name	Varchar	60	N	Optional. Null if not used. This is the 9th level in the organization hierarchy.
Organization level 10 name	Varchar	60	N	Optional. Null if not used. This is the 10th level in the organization hierarchy.
Transaction type	Varchar	2	Y	Required. Defines the type of financial transactions being reported. EX = Expense, RV = Revenue, PC = Purchasing Card, RM = Employee Reimbursement.
Category level 1 name	Varchar	60	Y	Required. Further defines the type of transaction (e.g., Professional Services).
Category level 2 name	Varchar	60	N	Optional. Null if not used. Further defines the type of transaction. Usually hierarchical
Category level 3 name	Varchar	60	N	Optional. Null if not used. Further defines the type of transaction. Usually hierarchical
Category level 4 name	Varchar	60	N	Optional. Null if not used. Further defines the type of transaction. Usually hierarchical
Category level 5 name	Varchar	60	N	Optional. Null if not used. Further defines the type of transaction. Usually hierarchical
Category level 6 name	Varchar	60	N	Optional. Null if not used. Further defines the type of transaction. Usually hierarchical
Category level 7 name	Varchar	60	N	Optional. Null if not used. Further defines the type of transaction. Usually hierarchical
Payee/Customer/Vendor name	Varchar	60	Y	Required. Enter the payee, customer or vendor name, or choose one of the following options to populate this field: For transactions without a payee customer or vendor (e.g., an internal transfer) enter **"Not Applicable"**. For transactions with payees, customers or vendors that are legally protected or confidential, enter **"Name Redacted".** For transactions with payees, customers or vendors that are legally protected when the file is created but could become unprotected at some time in the future, do all of the following: 1) enter the actual name of the payee, customer or vendor into this field; 2) enter a "P" into the Protection Indicator field (described below); 3) Enter a Vendor ID that is unique to this payee, customer vendor.
Payee DBA name	Vachar	60	N	Optional. Null if not used. Payee 'Doing Business As' name.

Vendor ID code	Vachar	60	Y	Required. In conjunction with the vendor name, this vendor ID code is used by the website to properly summarize transactions. This field is not displayed or downloadable on the website. **Required in the following 2 instances:** 1. For Employee Compensation records (transaction type = PY). A code that uniquely identifies each employee is needed for the website to properly summarize each employee. Without this code, all employees with the name of "NOT PROVIDED" will be summarized as 1 employee. 2. For expenditure records (transaction type = EX) when using the Protection Indicator field to temporarily protect the vendor name and gender.
Posting date	Num YYYYMMDD	8	Y	Required. The date the financial transaction was posted to the entity's accounting system/general ledger. Must be a valid calendar date.
Transaction description	Varchar	350	Y	Required. Further describes the transaction. Should not include private information. Must be at least 2 characters in length (i.e. may be lowest category name, if actual description contains private information).
Transaction ID	Varchar	255	Y	Required. Typically the transaction ID from the entity's general ledger system.
Transaction reference ID	Varchar	255	N	Optional. Null if not used. If transactions are related to each other (reversals, corrections, etc.) this ID connects them. If populated, there should also be a record with this field as the Transaction ID.
Contract name	Varchar	255	N	Optional. Null if not used. Used only if record is for a payment on a contract, otherwise null.
Contract number	Varchar	50	N	Optional. Null if not used. Used only if record is for a payment on a contract, otherwise null.
Position title	Varchar	50	N	Optional. Null if not used.
Hourly rate	Num	16,2	N	Optional. Null if not used.
Gender	Char	1	N	Optional. Null if not used.
Amount	Num 9999.99 -9999.99	16,2	Y	Required. For Transaction type = EX (expenditure), primarily a positive number unless the transaction is a correction, reversal, refund, or reduction. For Transaction type = RV (revenue), this is also a positive number even though revenues are normally negative numbers in a ledger. Revenue corrections, reversals, refunds, or reductions may be negative numbers.
Payment method	Char	20	N	Optional. Null if not used. Describes payment method (e.g. Credit Card, Warrant, Check, ACH, etc.)

Protection indicator	Char	1	N	Optional. Null if not used. Enter "P" for payee, customer and vendor records that are *temporarily* Protected. If this field is "P", the values in the Payee/Customer/Vendor field, the Payee DBA Name field and Gender fields will NOT be displayed on the website. For transactions with payee/customer/vendor that are protected (such as by GRAMA, HIPPA, FERPA, etc.) and will always remain protected, **DO NOT** use this field and redact the payee/customer/vendor before uploading files to OpenBooks. For transactions with payee/customer/vendors that are legally protected when the file is created but **could become unprotected at some time in the future**, this coding can be used. All transactions for the payee/customer/vendor have to be coded with a "P" in this field. **Once a transaction is coded as Null, all transactions for the payee/customer/vendor will then be displayed**.

Field by Field

Record number (32) - A <u>unique</u> sequence of characters to identify each transaction.
This field is NOT displayed on Arizona OpenBooks website.
CANNOT be NULL. MUST be UNIQUE.
The State of Arizona uses transaction batch information along with FY and FM to create field.

Fiscal year (4) - An accounting period of 12 months. The State of Arizona government operates on a fiscal year that begins on July 1 and ends on the following June 30.
This field is a filter option in the "Get Started" (initial) search on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.
CANNOT be NULL.
The fiscal year used in this field will determine what year the record/transaction is displayed under.

Entity name (60) - A name corresponding to the entity
This field is a filter option in the "Get Started" (initial) search on Arizona OpenBooks website.
CANNOT be NULL.
The entities will be established by the GAO.

Fund 1 name (60) - A self-balancing set of accounts recording assets, liabilities, and equity. A fund is used to segregate financial information for carrying on specific activities or attaining certain objectives.
This field is the first level in the search results when the Fund filter is selected from the tabs. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.
CANNOT be NULL.
The State of Arizona uses the statewide fund title for this field.

Fund 2 name (60)
This field is the second set of results displayed when a "Fund 1 name" is clicked on Arizona OpenBooks website.
This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.
Can be NULL.
The State of Arizona uses the agency fund title for this field.

Fund 3 name (60)
This field is the third set of results displayed when a "Fund 2 name" is clicked on Arizona OpenBooks website.
This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.
Can be NULL.
The State of Arizona does NOT use this field.

Fund 4 name (60)
This field is the fourth set of results displayed when a "Fund 3 name" is clicked on Arizona OpenBooks website.
This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.
Can be NULL.
The State of Arizona does NOT use this field.

Organization level 1 name (60) – A level of the entity, such as department, division, section, region, etc. Could

also be the entity itself.

This field is the first level in the search results by default or when the Organization filter is selected from the tabs. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

CANNOT be NULL.

The State of Arizona uses the State agency title for this field.

Organization level 2 name **(60)**

This field is the second set of results displayed when an "Organization 1 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

Can be NULL.

The State of Arizona does NOT use this field.

Organization level 3 name **(60)**

This field is the third set of results displayed when an "Organization21 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

Can be NULL.

The State of Arizona does NOT use this field.

Organization level 4 name **(60)**

This field is the fourth set of results displayed when an "Organization 3 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

Can be NULL.

The State of Arizona does NOT use this field.

Organization level 5 name **(60)**

This field is the fifth set of results displayed when an "Organization 4 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

Can be NULL.

The State of Arizona does NOT use this field.

Organization level 6 name **(60)**

This field is the sixth set of results displayed when an "Organization 5 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

Can be NULL.

The State of Arizona does NOT use this field.

Organization level 7 name **(60)**

This field is the seventh set of results displayed when an "Organization 6 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

Can be NULL.

The State of Arizona does NOT use this field.

Organization level 8 name (60)
This field is the eighth set of results displayed when an "Organization 7 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.
Can be NULL.
The State of Arizona does NOT use this field.

Organization level 9 name (60)
This field is the ninth set of results displayed when an "Organization 8 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.
Can be NULL.
The State of Arizona does NOT use this field.

Organization level 10 name (60)
This field is the tenth set of results displayed when an "Organization 9 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.
Can be NULL.
The State of Arizona does NOT use this field.

Transaction type (2) – A code used to identify the type of transaction.
This field is a filter option in the "Get Started" (initial) search on Arizona OpenBooks website. The long description for the code is also display on the last pop-up tier of the Arizona OpenBooks website.
CANNOT be NULL.
Codes available for use:
EX = Expense
RV = Revenue
PC = Purchasing Card
RM = Employee Reimbursement

Category level 1 name (60) - A brief title that further identifies the transaction type and transaction.
This field is the first level in the search results when the Category filter is selected from the tabs. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.
CANNOT be NULL.
The State of Arizona uses the Object title for this field.

Category level 2 name (60)
This field is the second set of results displayed when a "Category 1 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.
Can be NULL.
The State of Arizona uses the Comptroller Source Group title for this field.

Category level 3 name (60)
This field is the third set of results displayed when a "Category 2 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.
Can be NULL.
The State of Arizona uses the Comptroller Object title for this field.

Category level 4 name (60)

This field is the fourth set of results displayed when a "Category 3 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

Can be NULL.

The State of Arizona does NOT use this field.

Category level 5 name (60)

This field is the fifth set of results displayed when a "Category 4 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

Can be NULL.

The State of Arizona does NOT use this field.

Category level 6 name (60)

This field is the sixth set of results displayed when a "Category 5 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

Can be NULL.

The State of Arizona does NOT use this field.

Category level 7 name (60)

This field is the seventh set of results displayed when a "Category 6 name" is clicked on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

Can be NULL.

The State of Arizona does NOT use this field.

Payee/Customer/Vendor name (60) - The name of the business/individual paid or who remitted money to a government entity.

This field is a filter option in the "Get Started" (initial) search on Arizona OpenBooks website. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

CANNOT be NULL.

At this time, the State of Arizona is only displaying Vendor/Payee/Customer names for expenditure transactions. This is due to inconsistency in the vendor field for Revenues and difficulty identifying confidential vendors (such as those for certain Donations).

If the vendor name is not available for a transaction, (transfer is an example), then the State of Arizona uses "N/A" in this field.

If the transaction has been determined to be a confidential transaction, the State of Arizona uses "Name Redacted" in this field instead of displaying the true vendor name.

The State of Arizona redacts the vendor name prior to uploading the file on the Arizona OpenBooks website.

Payee DBA name (60) – Payee "Doing Business As" name.
This field is displayed on the last pop-up tier of the Arizona OpenBooks.
Can be NULL.
The State of Arizona does NOT use this field due to the inconsistent location of the DBA name in the financial system.

Vendor ID code (60) – Code referencing the Payee/Cutomer/Vendor.
This field is NOT displayed on Arizona Openbooks website.
Can be NULL, ONLY if Payee/Customer Vendor name is "Not Applicable" or "Not Provided"
The State of Arizona uses the AFIS vendor number for this field.
The State of Arizona populates with "00000000000000" for confidential transactions.

Posting date (8) – The date the transaction was posted to the financial system.
This field is displayed on the last pop-up tier of the Arizona OpenBooks website.
CANNOT be NULL.
Must be a valid calendar date.
Must be in the format: YYYYMMDD. Dates should NOT have any slashes, hyphens, or other special characters.
The State of Arizona uses the "effective date" from the financial system for this field.
The State of Arizona has an adjustment period for fiscal year end, called "13th month". These transactions have a date of 06/31/xx-06/99/xx. Since these are invalid calendar dates and cannot be accepted for the file, we converted all of these dates to 07/01/(xx +1). This will give these transactions a posting date in the next fiscal year, however the fiscal year field will be the current/correct fiscal year(yyxx). This will allow the transactions to display under the correct fiscal year and easily be determined to be the "adjustment period" transactions due to the posting date.

Transaction description (350) - Describes the nature of the transaction.
This field is displayed on the last pop-up tier of the Arizona OpenBooks website.
CANNOT be NULL.
The State of Arizona has a free-form description field in their financial system. Since there are not any controls as to what agencies may input in this field (may contain confidential information, it was decided to take a detail category description instead.

Transaction ID (255) - A <u>unique</u> sequence of characters to identify each transaction.
This field is displayed on the last pop-up tier of the Arizona OpenBooks website.
CANNOT be NULL. MUST be UNIQUE.
The State of Arizona uses the same information as the Record Number field to populate this field. The only difference between these fields is the Record Number field is NOT displayed on Arizona OpenBooks website, however the Transaction ID field is.
The State of Arizona used information in this field to easily identify the transaction in the financial system if an inquiry from Arizona OpenBooks referenced the Transaction ID.

Transaction reference ID (255) – An identification to identify related transactions, such as for reversals or corrections. If this field is used, there should also be a record with this field as the Transaction ID.
This field is displayed on the last pop-up tier of the Arizona OpenBooks website.
Can be NULL.
The State of Arizona does NOT use this field because some reference numbers used in the financial system relate to NON- Revenue or Expense transactions.

Contract name (255) – A name for the contract related to the transaction.
This field is displayed on the last pop-up tier of the Arizona OpenBooks website.
Can be NULL.
The State of Arizona currently does NOT use this field.

Contract number (50) – The number related to the contract name and transaction.
This field is displayed on the last pop-up tier of the Arizona OpenBooks website.
Can be NULL.
The State of Arizona currently does NOT use this field.

Position title (50) – Used only for Payroll/Employee Compensation transactions to describe a position.
This field is NOT displayed on Arizona Openbooks website.
Can be NULL.
The State of Arizona currently does NOT display Payroll/Employee Compensation information at the detail level and therefore does NOT use this field.

Hourly rate (19) - Used only for Payroll/Employee Compensation transactions to state the hourly rate of pay.
This field is NOT displayed on Arizona Openbooks website.
Can be NULL.
The State of Arizona currently does NOT display Payroll/Employee Compensation information at the detail level and therefore does NOT use this field.

Gender (1) - Used only for Payroll/Employee Compensation transactions to identify the employees gender.
This field is NOT displayed on Arizona Openbooks website.
Can be NULL.
The State of Arizona currently does NOT display Payroll/Employee Compensation information at the detail level and therefore does NOT use this field.
Codes that can be used are:
M = Male
F = Female

Amount (19) – The amount corresponding to the individual transaction.

This field is displayed on all Tiers of the search results. This field is also displayed on the last pop-up tier of the Arizona OpenBooks website.

Amounts should be in the format 9999.99 or -9999.99. Amounts should NOT include commas, a dollar sign or any "packed" information. Negative amounts should have a leading minus sign.

Expenses and Revenues should be shown as positive numbers. Corrections, reversals, refunds or reductions should be shown as negative numbers.

Revenue collected is normally shown as a credit (negative) in accounting. To keep the general public from perceiving the negative number as revenue lost, the amount for all revenue transactions may need to be multiplied by -1.

Should NOT have any zero dollar transaction amounts ($0).

CANNOT be NULL.

The State of Arizona uses the amount field based on the GL accounts from the financial system.

Payment method (20) – The method used to process each expense transaction.

This field is displayed on the last pop-up tier of the Arizona OpenBooks website.

Can be NULL.

The State of Arizona uses the following codes:

Credit Card – Payment made with the State Purchasing Card or Travel Card.

Warrant - Payment type for a written authorization for payment, payable upon presentation to the State Treasurer.

ACH – Electronic payment made via "Automated Clearing House".

Transfer - Payment type for the movement of funds between State organizations.

Journal Voucher – Transaction involving a journal entry, affecting expenditures.

Cost Allocation – Transaction involving cost allocation, affecting expenditures.

Other – Any expense transaction not meeting the other categories.

The State of Arizona uses **"N/A"** for all Revenue transactions.

This is a free-form field for Entities to use and the State of Arizona codes are NOT required.

Protection indicator (1) – Indicator used to *temporarily* mask the Payee/Customer/Vendor name, Payee DBA name, and Gender fields.

This field is NOT displayed on Arizona OpenBooks website.

Can be NULL.

The State of Arizona does NOT use this field, as it does NOT meet the needs for masking Confidential information for the State of Arizona.

A vendor does not necessarily need to be masked for ALL State of Arizona agencies for ALL transactions.

- For transactions with payee/customer/vendor that are protected (such as by GRAMA, HIPPA, FERPA, etc.) and will always remain protected, **DO NOT** use this field and redact the payee/customer/vendor before uploading files to OpenBooks.
- For transactions with payee/customer/vendors that are legally protected when the file is created but **could become unprotected at some time in the future**, this coding can be used. All transactions for the payee/customer/vendor have to be coded with a "P" in this field. **Once a transaction is coded as Null, all transactions for the payee/customer/vendor will then be displayed**.

Batch Processing

Arizona OpenBooks has a Test and Production Region.

Test

- Daily (includes weekends) batch/file processing at the following times: **8am, 11am, 2pm, and 5pm**

Production

- Nightly (includes weekends) batch/file processing at **9pm**

Reconciliation/Verification

The State of Arizona performs a high-level verification for every monthly file the GAO uploads to Arizona OpenBooks from the AFIS. The monthly files are processed and verified in the Test region before uploading to Production.   High-level cumulative totals for the fiscal year (through the current month uploaded) are downloaded from the State's financial system data. These totals are then compared to the .CSV file downloaded from the Arizona OpenBooks Test region for all of the following areas:

- Organization
- Fund
- Category
- Vendor

Once the titles and totals match, the NEW monthly file is uploaded to Production. Once uploaded to Production, another high-level verification is performed for validation. The State of Arizona recommends that every entity determines and performs their own reconciliation process.

Test Region Verification:

- The OpenBooks TEST Admin. site https://prodtest.az.gov/app/transparency-admin/main.html is used to upload and verify files along with additional capabilities, such as updating entity profiles.
- After the batch/file processing (Please allow several hours for the batch/file processing to complete), the file status can be verified by logging back in and clicking on the "Batches" tab.
- To see details of the status, click on the status in the first column next to the file.
    - Note: Only the first 100 errors can be displayed.
- To verify the file in OpenBooks (how the public would see the information) go to the OpenBooks TEST site https://prodtest.az.gov/app/transparency/index.html.
    - Reminder: The OpenBooks TEST site is secured and you will need the following credentials to access:
        - User Name: prodtest
        - Password: azgov

Production Region Verification:

- OpenBooks Production Admin. site https://az.gov/app/transparency-admin/main.html is used to upload and verify files along with additional capabilities, such as updating entity profiles.
- After the batch/file processing (next day), the file status can be verified by logging back in and clicking on the "Batches" tab.
- To see details of the status, click on the status in the first column next to the file.
    o Note: Only the first 100 errors can be displayed.
- To verify the file in OpenBooks (how the public sees the information) go to the Production OpenBooks site http://openbooks.az.gov.

Batch Changes/Deletion

To make changes to a batch/file, it must be deleted and then re-uploaded. Deletions can only be done by ADOA-GAO. Deletions can be requested pre- and post- batch processing.

To request a deletion, please email the file name, upload date and explanation of request, to OpenBooks@azdoa.gov from a valid Entity Administrator email account.

Disclaimer

Arizona OpenBooks has universal Disclaimer information at the bottom of every web page. Additional Disclaimer information is disclosed in a PDF document. If you would like to add Disclaimer information specific to your entity, please provide the information to OpenBooks@azdoa.gov.

Contacts

For Questions or comments regarding this cooperative agreement or the Arizona OpenBooks website, please email OpenBooks@azdoa.gov, or contact someone from the list below:

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